

Serial No. 09/896,760			Filing Date June 29, 2001		Examiner Unknown		Case No. 10790/4 Group Art Unit 2161	
Inventor(s) C. Conklin et al.								
Title of Invention Method And System For Enhanced Distribution Of Financial Instruments								

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Transmittal Letter (in duplicate); Information Disclosure Statement; PTO Form 1449; One Copy of References A1-A6.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity		Other Than Small Entity	
Rate	Add'l Fee	Rate	Add'l Fee
x \$9=		x \$18=	
x 42=		x \$84=	
+\$140=		+\$280=	
Total add'l fee	\$	Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Kent E. Genin  
Registration No. 37,834  
Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on May 9, 2002.

Date:

5/9/2002

Signature:

*Kent E. Genin*

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GROUP 3600



## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on May 9, 2002.

Kent E. Genin

Name of Applicant, Assignee or  
Registered Representative

Signature

5/9/2002

Date of Signature

PATENT  
CASE NO. 10790/4

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )

C. Conklin et al. )

Serial No. 09/896,760 )

Filed: June 29, 2001 )

For: METHOD AND SYSTEM FOR  
ENHANCED DISTRIBUTION OF  
FINANCIAL INSTRUMENTS )

Group Art Unit: 2161

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**Technology Center 2100**

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to the obligation under 37 C.F.R. § 1.56 and in conformance with 37 C.F.R. § 1.97-1.99, Applicant hereby submits the following references for consideration by the Examiner. Copies of each have been enclosed along with the form PTO-1449.

05/16/2002 BNGUYEN1 00000022 231925 09896760

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**U.S. PATENTS**

<u>Patent No.</u>	<u>Issue Date</u>	<u>Inventor</u>
5,742,775	04/21/98	King
5,774,879	06/30/98	Custy et al.
5,878,403	03/02/99	DeFrancesco et al.
6,021,397	02/01/00	Jones et al.
6,064,971	05/16/00	Hartnett

**OTHER ART**

Copy of International Search Report for PCT Application No. PCT/US01/50858  
dated April 12, 2002

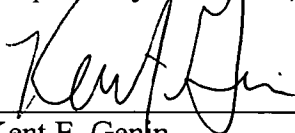
**EXPLANATION OF THE REFERENCES**

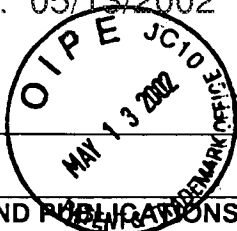
As of the day of filing of this information disclosure statement, a first office action on the merits has not been received by the undersigned. Accordingly, no fee for consideration of the information provided with this disclosure statement is included herewith, as permitted by 37 C.F.R. § 1.97(b)(3). However, if an office action on the merits is mailed on a date prior hereto, Applicant hereby requests and authorizes the Commissioner to charge Deposit Account 23-1925 for the appropriate fee of \$180 as set forth in 37 C.F.R. § 1.97(c) for consideration of the information set forth in this disclosure statement.

Applicant requests to have these references included in the record of this application. Applicant further requests that the Examiner review the entire disclosure of each reference. Applicant does not represent any of these references to be prior art and Applicant reserves the right to disqualify any references by the showing of an earlier date of invention, if appropriate.

BRINKS HOFER GILSON & LIONE  
P.O. Box 10395  
Chicago, IL 60610  
(312) 321-7732

Respectfully Submitted,

  
\_\_\_\_\_  
Kent E. Genin  
Reg. No. 37,834  
Attorney for Applicant



FORM PTO-1449	SERIAL NO. 09/896,760	CASE NO. 10790/4
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE June 29, 2001	GROUP ART UNIT 2161
APPLICANT(S): C. Conklin et al.		

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	5,742,775	04/21/98	King		
	A2	5,774,879	06/30/98	Custy et al.		
	A3	5,878,403	03/02/99	DeFrancesco et al.		
	A4	6,021,397	02/01/00	Jones et al.		
	A5	6,064,971	05/16/00	Hartnett		

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A6	Copy of International Search Report for PCT Application No. PCT/US01/50858 dated April 12, 2002.

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**GROUP 3600**

EXAMINER /Frantzy Poinvil/	DATE CONSIDERED 04/14/2008
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.